

INTERNATIONAL BOUNDARY AND WATER COMMISSION
UNITED STATES AND MEXICO
UNITED STATES SECTION

HEADQUARTERS

DIRECTIVE NUMBER: 8-90

VOLUME: ~~IV~~ II
SECTION: ~~400~~ 505
CHAPTER: ~~410~~
DATE: May 1990

TO: Each Division and Branch Office in the Headquarters; each Field Office; Office of the Secretary; Internal Auditor; Communications and Records Branch; EEM; Presidents - AFGE Locals 3060 and 3309

SUBJECT: Files Maintenance and Records Disposition Manual -- Basic Directive

CONTROL: Director, Administrative Services Division (915) 534-6674, FTS 570-6674

410.1. PURPOSE: This directive, together with Headquarters Directive 9-90, Volume IV, Section 400, Chapter 420, May 1990, subject: Files Maintenance and Records Disposition Manual-Records Disposal Schedules, establishes a system for the organization, maintenance, and disposal of records of the United States Section, International Boundary Commission (IBWC). The basic purpose of the IBWC Files Maintenance and Records Disposition Manual is to promote economy and efficiency in the organization, maintenance, use, and ultimate disposition of records.

410.2. AUTHORITY:

- a. The Federal Records Act of 1950, as amended.
- b. The Paperwork Reduction Act of 1980.
- c. Sections 3301-3314, Title 44, United States Code.
- d. General Records Schedules, June 1988.
- e. Records Control Schedule, Job No. NCl-76-77-1, December 19, 1978.
- f. Records Control Schedule, Job No. N1-76-88-2, May 2, 1988.
- g. Records Control Schedule, Job No. N1-76-90-1, April 30, 1990.

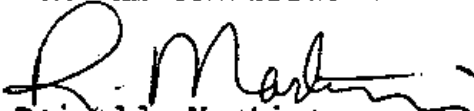
410.3. SUPERSESSON: This directive, together with Headquarters Directive 9-90, Volume IV, Section 400, Chapter 420, May 1990, supersedes Headquarters Directive Volume IV, Section 400, subject: Files Maintenance and Records Disposition Manual, August 1978, in its entirety. Please dispose of previous editions of this manual, including all changes thereto.

IBWC-14
(1/87)

410.4. POLICY: This directive, together with Headquarters Directive 9-90, Volume IV, Section 400, Chapter 420, May 1990, are the only authorized directives for use in setting up, maintaining, and disposing of U.S. Section, IBWC, records.

410.5. EFFECTIVE DATE: This directive enters into force upon receipt.

FOR THE COMMISSIONER:

A handwritten signature in dark ink, appearing to read 'R. Martinez', is written over the printed name.

Reinaldo Martinez
Director, Administrative Services

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CHAPTER 1

GENERAL

410.1. PURPOSE: The purpose of this directive is to establish policy, procedures, and responsibilities for the U.S. Section, International Boundary and Water Commission (IBWC), files maintenance and records disposition program.

410.2. AUTHORITY:

- a. The Federal Records Act of 1950, as amended.
- b. The Paperwork Reduction Act of 1980.
- c. Sections 3301-3314, Title 44, United States Code.
- d. General Records Schedules, June 1988.
- e. Records Disposal Schedules:
 - (1) Records Control Schedule, Job No. NC1-76-77-1, December 19, 1978.
 - (2) Records Control Schedule, Job No. N1-76-88-2, May 2, 1988.
 - (3) Records Control Schedule, Job No. N1-76-90-1, April 30, 1990.

410.3. APPLICATION: The IBWC Files Maintenance and Records Disposition Manual, Basic Directive and Records Disposal Schedules, is to be used by all offices of the U.S. Section, IBWC, in an effort to create a systematic manner by which to store, dispose of, or permanently maintain U.S. Section, IBWC, official files.

410.4. DEFINITIONS:

- a. Records -- As defined in the Records Disposal Act of 1943 (now 44 UCS 3301) records are "...books, papers, maps, photographs, machine readable materials, or other documentary materials, regardless of physical form or characteristics, made or received by an agency of the United States Government under Federal law or in connection with the transaction of public business and preserved or appropriate for preservation by that agency or its legitimate successor as evidence of the organization, function, policies, decisions, procedures, operations, or other activities of the Government or because of the informational value of data in them."

b. Temporary Records -- These are disposable after a fixed period of time or after an event. Time may range from a few days or a month to longer periods, such as 20 or 30 years.

c. Permanent Records -- These are sufficiently valuable for research and other purposes to warrant permanent preservation by the Federal Government.

d. Official Files - Official files of the U.S. Section, IBWC, are papers, photographs, maps, or other documentary materials as described above, regardless of physical form or characteristics, which have documentary or evidential value. These materials can be disposed of only in accordance with the provisions of the authorized records disposal schedules.

e. Nonrecord Material -- Papers that have no documentary or evidential value are considered nonrecord material. These include stocks of publications, library material, duplicate copies of record material such as reading files, and papers of transitory value such as drafts, worksheets, informal notes, and routing slips. Nonrecord materials will be destroyed when their purpose is served.

f. Official File Stations or Office of Record -- An official file station, or office of record, is an organizational unit where official record copies of correspondence and other documents are kept.

g. Cutoff -- The closing of files on specified dates.

h. Disposition -- A broad term which may refer to any of the following:

(1) Disposal of temporary records no longer necessary for the conduct of business either by destruction or donation.

(2) Retirement of records to a Federal Records Center for storage.

(3) Transfer of records from one agency to another.

i. Records Disposal Schedules -- A comprehensive listing and description of records created or accumulated which show all legally authorized actions to be taken in relation to the retention and disposition of the records.

j. Federal Records Center (FRC) -- A storage facility operated by the National Archives and Records Administration (NARA) for receiving, maintaining, servicing, and disposing of records of Federal agencies.

410.5. SCOPE: The Records Disposal Schedules, Headquarters Directive Volume IV, Section 400, Chapter 420, is the only authorized manual by which to organize, maintain, and dispose of records for this agency. Volume IV, Section 400, Chapter 420 will be used in conjunction with this manual. This manual provides procedures and policy guidance for the organization and maintenance of a files system. For the purpose of this agency, files are maintained at locations as indicated below:

a. Administrative Files -- Are kept by all offices in accordance with the Master Subject File Outline, and applicable Records Disposal Schedules.

b. Functional, or Decentralized Files -- Files that document a particular function of a unit are maintained by that unit (i.e., Personnel, Realty, Procurement, Accounts, etc.).

c. Modified, or Central Files -- Files which have agency-wide interest and use are centrally located for use by all organizational elements.

410.6. OFFICE OF RECORD: Generally, an office that maintains original records is considered an office of record. Under modified (or central) files, Communications and Records is considered the office of records for those files that are not decentralized. Under functional (or decentralized) files, each unit keeping original records for the function of such unit, is considered the office of record for those files. Under this system, Communications and Records, together with heads of headquarters and field offices that have original records, have the responsibility for preserving the U.S. Section, IBWC, history. It is essential that everyone concerned become very familiar with the disposition instructions, and apply them accordingly. The responsibility of the records management program falls, therefore, on everyone that creates, maintains, and disposes of records for the U.S. Section, IBWC.

410.7. RESPONSIBILITIES:

a. Paperwork Management Officer -- The Director, Administrative Services, serves as the Paperwork Management Officer for the U.S. Section, IBWC, with responsibility for overall direction of the paperwork management program.

b. Records Liaison Officer -- The Chief, Communications and Records, is designated as the U.S. Section, IBWC, Records Liaison Officer (RLO); and, as such is responsible for monitoring, controlling, coordinating, and providing technical assistance on the records management program throughout the U.S. Section, IBWC. This responsibility also includes liaison with the National Archives, Federal Records Centers, and other agencies

outside the U.S. Section, IBWC, on records management. The RLO will also maintain a master index of U.S. Section, IBWC, records located throughout the agency. Assistance visits/surveys will be done no less often than once every 18 months in the headquarters offices, and no less often than once every three (3) years in field offices.

c. Heads of U.S. Section, IBWC, Headquarters and Field Offices -- The head of each headquarters and field office is responsible for the implementation and operation and maintenance of an effective files maintenance and records disposition program, in accordance with the provisions of this directive and the directive on Records Disposal Schedules, within his area of responsibility. The heads of headquarters and field offices will designate a files custodian to coordinate the operation of the system and will inform the Records Liaison Officer of the designated individual.

d. Files Custodians -- File custodians are responsible for the establishment, maintenance, operation, and disposition of official file stations within their organizational units in accordance with prescribed standards and procedures. The file custodians will also provide to the RLO a List of Selected File Numbers (LSFN), IBWC Form 11 and 11a, on a biennial basis (every two years), or when major changes occur in the files maintained, whichever is sooner.

410.8. GOVERNMENT OWNERSHIP OF RECORDS: All information received, created, or compiled by the officers and employees of the Federal Government for the use of the Government is official Government record material; and is, therefore, the property of the United States. No Federal official or employee has, by virtue of his position, any personal or property right to official records even though he may have helped develop or compile them. The unlawful destruction, removal from files, and use of official records are prohibited by the U.S. Criminal Code (Title 18, Supp. V, Sec. 2701, USC).

410.9. DISCLOSURE OF INFORMATION ABOUT INDIVIDUALS: Every official and employee who is involved in the design, development, operation, or maintenance of a system of records relating to an individual or who has access to such a system of records shall become familiar with the requirements of the Privacy Act of 1974, as amended (5 USC 552a).

CHAPTER 2

PROCEDURES

410.10. FILING PROCEDURES AND RETRIEVAL: The Records Disposal Schedules, Headquarters Directive Volume IV, Section 400, Chapter 420, has been designed for use by U.S. Section, IBWC, offices in an effort to provide a systematic method of filing, and retrieval of information thereof, throughout the agency. Following are some steps that should make it easier to file, and locate information that has been filed.

a. Avoid Unnecessary Filing -- Limit the creation of formal communications for routine matters where a memo or routing slip may be substituted or a reply may be made on the incoming communication and then returned. Limit the number of copies prepared to those which are specifically required, or requested, or which serve a valid purpose. Limit "extra copy" for "cross reference" filing as much as possible.

b. Receiving and Preparing Papers for Filing -- The following preliminary steps should be taken in preparing documents for filing:

(1) Remove rubber bands, paper clips, pins, and other temporary fasteners.

(2) Inspect all documents to assure they have been authorized for filing. Determine that the file is complete and all necessary enclosures or attachments are accounted for. Keep all related papers together, with the latest correspondence on top.

(3) Remove all mail control forms, classified cover sheets, tabs, routing slips (except those which contain remarks of significant record value).

(4) Ensure that parts of another file are not accidentally attached.

(5) Mend and reinforce all torn or frayed papers.

c. Classifying Papers for Filing -- After the papers have been prepared and assembled for filing, the next step is to code or classify them for filing. Classifying segregates the papers into logical categories for ease of filing and finding. The following preliminary steps should be taken in preparing documents for classifying:

(1) Read and analyze the document to determine its major subject.

(2) Select the proper file designation. The LSFN (which is described in more detail in Chapter 3, Program Management, List of Selected File Numbers) can be most helpful in this area. The LSFN is prepared to facilitate filing and reference service, to assist in training of new personnel, and to eliminate the need for constant referral to the Records Disposal Schedules.

(3) Earlier material should be consolidated with later correspondence on the same subject (i.e., if for example, a reply comes in for a letter which went out September 20, 19XX, the reply of October 7, 19XX should be stapled on top of the September 20, 19XX, letter and filed by the latest date.)

(4) Write the file number and an abbreviation of the file title in the upper right hand corner of the file copy. For example refer to Exhibit 410-1.

903-01a Falcon O.M

Example Without Cross Reference

903-01a Falcon O.M
x LEG 5 Congressionals

Example with Cross Reference

LEG 5 Congressionals
filed 903-01a Falcon O.M

Example of Cross Referenced Copy

Exhibit 410-1
EXAMPLES OF CLASSIFYING AND CROSS REFERENCING

d. Cross Referencing -- Optional Form 21, Cross-Reference, is used to cross reference classified documents. Cross referencing should be kept to an absolute minimum. Avoid making and filing unnecessary cross references, as they take up valuable space and filing time. In an effort to avoid and minimize cross referencing, the LSFN will be worked up so that little or no cross referencing is required. If absolutely necessary, a quick copy of correspondence to be crossed referenced will suffice. Refer to example of cross referencing in Exhibit 410-1 above.

e. Finding Papers in the Files -- A good files plan, which provides for a good filing system, calls for a good LSFN. If all these things work together, the files custodian should have no trouble locating papers in the files. Let's examine some quick easy steps for finding papers in the files:

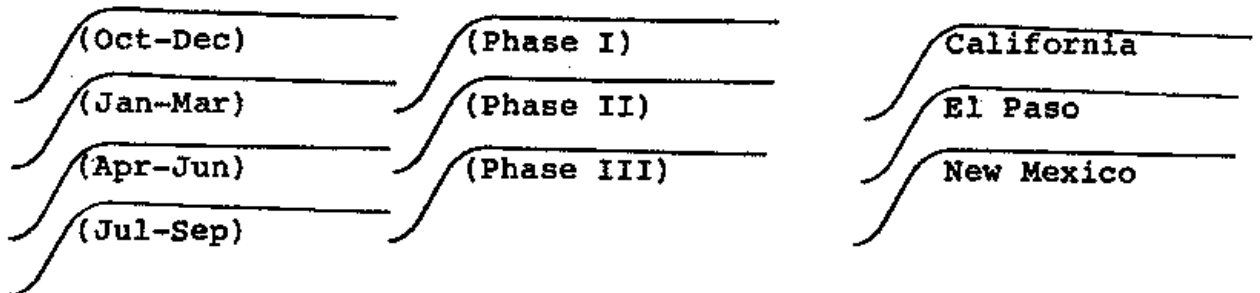
(1) The first step in finding papers in the files is to plan a good files arrangement and have your LSFN available and ready for use at all times. Use your LSFN to your advantage. The LSFN should be filed under 101-01 (the first item of your LSFN, and also the first item in your filing cabinet). It is recommended that you make a working copy for mark up and ready reference.

(2) The second step is to be consistent in your filing. Become familiar with your files, spend time going through them, reading them, knowing them. Time spent in getting acquainted with your files prevents time lost in searching for "unknown" data.

(3) The third step is to do your filing on a daily basis. Do not let filing stack up. Incomplete files give out incomplete information. Fifteen to 30 minutes a day generally allows enough time for filing of information in most offices; a central files location will take more time because of the volume of filing required. Keep on top of your filing requirements and needs.

(4) Finally, when records are removed from the files and forwarded/provided to an individual or office, a record of such loan should be made. Proper and consistent use of a file charge-out record will eliminate much wasted effort in searching for documents. Charge-Out Record, OF 23, is used to document records charged out from a file drawer; and, OF 24, Shelf File Charge-Out Record, is used to document records charged out from shelf units. Files custodians should review file charge-out forms from time to time and request the return or location of the files that have been charged out. This continual check of records will alleviate loss of files.

f. Filing Efficiently -- Neatness and orderliness are essential to filing efficiency. Prevent overcrowding the files, keep papers straight, avoid overloading file folders (the maximum capacity of a file folder is approximately 3/4 inch), and avoid cluttering the files. An example of breaking down files to avoid overloading is shown in Exhibit 410-2, Examples of How to Breakdown Files.



Separate by month,
quarterly, semi-annually

-- or

by program, project,
special works on a
particular case,

-- or

by geographic
location,
alphabetically,
etc, etc. There
are numerous
ways to break-
down files.

Exhibit 410-2
EXAMPLES OF HOW TO BREAKDOWN FILES

g. Filing Confidential Records -- The same general filing guidelines used for unclassified records are used in filing confidential or proprietary materials; however, the following safeguards apply.

(1) File confidential records separately in equipment affording necessary security.

(2) Place a cross reference form (OF 21) in the unclassified file folder of the subject or case file to indicate that the confidential material is filed in security equipment. The cross reference form will not reveal the content of the confidential material. If an entire folder is kept in security equipment, use a chargeout card (OF 23) to show the location.

410.11 MACHINE READABLE RECORDS: Records applicable under the description of machine readable records (MRR) are those records which must be deciphered through the use of automatic data processing (ADP) equipment, microfiche/film readers and any other form of electronic equipment. If these records are considered as the official copy, they should be identified as such, and they will be disposed of in accordance with records disposal schedules.

a. Microfiched/filmed Records -- Certain record series described in the records disposal schedules may be selected for microfiche/film. The decision to do so will come from the Paperwork Management Officer in coordination with the Records Liaison Officer. Decision will be made at the time records are eligible for transfer to the FRC or the National Archives. Microfiched/filmed records will normally be maintained as working files for reference purposes. Official files, or hard copy files, will be forwarded to the Archives and disposed of in accordance with the records disposal schedules. For the most part the microfiched/filmed copy will be kept at designated locations and disposed of on site in accordance with the records disposal schedules.

b. Electronic Recordkeeping -- Use of ADP equipment for producing record copy material is authorized, but it must meet the standards of records management practices. Storage devices (diskettes, reels, etc) will state if the information is original record copy, or for information or reference use. Storage devices will be labeled as accurately as possible. External labels should include file code, title, dates, software used, and identification of the equipment on which the records were created. Use of agency file code headings and subheadings is recommended.

CHAPTER 3

PROGRAM MANAGEMENT

410.12. FILES PLAN. As indicated earlier, the Files Maintenance and Records Disposition Manual, Basic Directive and Records Disposition Schedules, is to be used by all offices of the U.S. Section, IBWC, in an effort to create a systematic manner by which to store, dispose of, or permanently maintain U.S. Section, IBWC, official files.

410.13. OFFICIAL FILE STATIONS. An official file station, or office of record, may be a large, central one used and shared by several offices; or, it may be a small, local station, with only one or two file cabinets, serving a single organizational element. A files station is the area where the files are located. Management of records starts at the official file stations, with the files custodians. Following are some guidelines for management of a records program:

a. Drawer and File Container Labeling -- All record containers (this includes book cases, shelves, map containers, etc.) and folders will be labeled. Proper labeling is essential for accurate filing, retrieval, and disposition of records. Type or print labels so they are easy to read. Use card stock for drawer or binder labels. Examples of labels for drawer and file containers follows in Exhibit 410-3, Examples of Drawer Labels.

101-01 thru 903-03 (89)

Sample of label entry for drawer containing two or more series. No disposition is shown on the label because it varies among the several record series in the drawer.

903-01b IBWC Project O&M Files (89)
COFF Dec 31, 1991, trf to FRC
Jan 1997, offer to Natl Archives
Jan 2022

Sample of entry for drawer that contains one (and only one) record series. Note that drawer label is identical to folder label in this case.

601-01a Official Personnel Folder Files (A-L)
See FPM for instructions relating to folders of employees transferred to another agency.

601-01a Official Personnel Folder Files (M-Z)
See FPM for instructions relating to folders of employees transferred to another agency.

Sample label entries for drawers that contain only part of one record series. Note that division (A-L; M-Z) is indicated on each label for ease of locating records.

b. Folder Labels -- For ease of identification, we have adopted two label positions.

(1) The left hand position means that the files are permanent and/or will be transferred to the FRC using an SF 135, Records Transmittal and Receipt.

(2) The right hand position means that the files are temporary in nature and are to be destroyed in the current files area (CFA).

(3) For ease of reference purposes and to avoid constant referral to the LSFN, disposition instructions are placed on the file folders. Examples of file folder labels follow in Exhibit 410-4, Examples of File Folder Labels.

File Title
File Number 102-02 PER 1 General Policy (89) Year of accumulation
COFF Dec 31, 1989, Dest Jan 92
Disposition Instructions

901-01a Presidio County Bridge

901-01a Cordova Island Bridge

901-01a Central Rio Grande Bridges

901-01a International Bridge Case Files
Permanent. COFF at close of CY when
structure is removed. Transfer to FRC
5 years after cutoff. Offer to Natl
Archives 30 years after cutoff.

Use of "Dummy" Folder. When there are several folders within one series, or item number, you may use a "dummy" folder which contains the full label entries. Tape it shut so that no documents are filed in it. Subsequent folder labels need only show the file number, title of folder, and -- when appropriate -- the year of accumulation.

Exhibit 410-4
EXAMPLES OF FILE FOLDER LABELS

c. Application of Disposition Instructions -- Exhibit 410-5, Disposition Standards, should be used as a guide for typing disposition instructions on labels. It is essential that for a filing system to work accurately, the disposition instructions be followed. Each file category has a disposition that is in accordance with the National Archives and Records Administration requirements, the General Record Schedules (GRS), and approvals given to this agency for files unique to our mission.

d. Changes to Retention Periods.

(1) Increased retention period. If a change increases the retention period, apply the new period to all records of that file series, no matter when they were created or where they are maintained.

(2) Decreased retention period. This could be either a change from PERMANENT to a definite time period; or from a longer retention period to a lesser period (for example, a change from "destroy after 10 years" to "destroy after 5 years"). In such cases the new retention period will be applied to current records. It will also be applied to inactive records if it is practical to do so, but not if a lot of time or money would be required.

	A	B	C	D
R U L E	If file is accumulated by:	and the abbreviated dispositions are:	the full disposition standard would be:	and the disposition instructions on the file label would be (Examples are for both CY and FY, where applicable:)
1.	U.S. Section Offices	destroy after 1 month	Cut off at the end of the month; hold 1 month in current files area; then destroy	COFF Apr 30, 1983, Dest Jun 83
		destroy after 3 months	Cut off at end of each quarter; hold 3 months in current files area, then destroy	COFF Mar 31, 1983, Dest Jul 83

Exhibit 410-5
DISPOSITION STANDARDS

(Exhibit 410-5 - Continued)

R U L E	A	B	C	D
	If file is accumulated by:	and the abbreviated dispositions are:	the full disposition standard would be:	and the disposition instructions on the file label would be (Examples are for both CY and FY, where applicable):
		destroy after 6 months	Cut off twice a year, according to the CY or FY, hold 6 months in the current files area; then destroy	CY: COFF Jun 30, 1983, Dest Jan 84; or COFF Dec 31, 1983, dest Jul 84 FY: COFF Sep 30, 1983, Dest Apr 84; or COFF Mar 31, 1984, dest Oct 84
		destroy after 1 year	Cut off at end of CY or FY, hold for 1 year in current files area; then destroy	CY: COFF Dec 31, 1983, Dest Jan 85 FY: COFF Sep 30, 1983, Dest Oct 84
		destroy after 2 years	Cut off at end of CY or FY; hold for 2 years in current files area; then destroy	CY: COFF Dec 31, 1983; Dest Jan 86 FY: COFF Sep 30, 1983; Dest Oct 85
		destroy upon occurrence of a specific action or event	examples: destroy when superseded or obsolete destroy when no longer needed for current operations	examples: Dest when supsd or obsolete Dest when no longer needed for current operations
		destroy a certain time period after occurrence of a specific action or event	example for 2-year file: cut off on transfer or separation of individual; hold 2 years in current files area; then destroy	Example for 2-year file: Active File: COFF upon separation or transfer, dest 2 years after cutoff. Inactive File: COFF Dec 31, 1983, Dest Jan 86
NOTE: When longer retention periods are specified, the appropriate standard in Rule 2 or 3 below will be applied.				

(Exhibit 410-5 - Continued)

	A	B	C	D
L E	If file is accumulated by:	and the abbreviated dispositions are:	the full disposition standard would be:	and the disposition instructions on the file label would be (Examples are for both CY and FY, where applicable):
2.	U.S. Section Offices, not serviced by a temporary records holding area	<p>destroy after 3 or 4 years</p> <p>destroy after 5 years or more (but not permanent records)</p> <p>permanent</p>	<p>cutoff at end of CY or FY, hold for the remaining time in current files area, then destroy</p> <p>cut off at the end of the CY or FY; hold for 2 years in current files area; retire to the servicing FRC, where the file will be held until the total retention period has expired, then destroy</p> <p>cut off at the end of the CY or FY; hold for 2 years in current files area; and then retire to the servicing FRC, where they will be transferred to the National Archives 30 years after cut ff</p>	<p>Example for a 3-year file: CY: COFF Dec 31, 1983, Dest Jan 87 FY: COFF Sep 30, 1983, Dest Oct 86</p> <p>Example for 5-year file: CY: COFF Dec 31, 1983, Retire to FRC Jan 86, Dest Jan 89 FY: COFF Sep 30, 1983, Retire to FRC Oct 85, Dest Oct 88</p> <p>CY: COFF Dec 31, 1983, Retire to FRC Jan 86, Offer to Natl Archives Jan 2014 FY: COFF Sep 30, 1983, Retire to FRC Oct 85, Offer to Natl Archives Oct 2013</p>
3.	U.S. Section Offices, serviced by a temporary records holding area	destroy 3, 4, 5, 6, or 7 years	cutoff at the end of the CY or FY; hold for 2 years in current files area; transfer to records holding area; hold until total retention period expires, then destroy	<p>example for a 5-year file: CY: COFF Dec 31, 1983, Transfer to American Dam Jan 86, Dest Jan 89 FY: COFF Sep 30, 1983, Transfer to American Dam Oct 85, Dest Oct 88</p>

(Exhibit 410-5 - Continued)-----

R U L E	A If file is accumulated by:	B and the abbreviated dispositions are:	C the full disposi- tion standard would be:	D and the disposition instructions on the file label would be (Examples are for both CY and FY, where applicable):
		destroy after more than 7 years (but not permanent records)	cut off at the end of the CY or FY, transfer to records holding area; hold for 1 year; retire to the FRC, where they will be held until the total re- tention period expires, then destroyed	examples for a 25- year file: CY: COFF Dec 31, 1983, Transfer to American Dam Jan 86, Retire to FRC Jan 87, Destroy Jan 2009 FY: COFF Sep 30, 1983, Transfer to American Dam Oct 85, Retire to FRC Oct 86, Destroy Oct 2008
		Permanent	Cut off at the end of the CY or FY; hold for 2 years in current files area; transfer to records holding area; hold for 1 year, then retire to the FRC, where they will be transferred to the National Archives 30 years after cut off	CY: COFF Dec 31, 1983, Transfer to American Dam Jan 86, Retire to FRC Jan 87, Offer to National Archives Jan 2014 FY: COFF Sep 30, 1983, Transfer to American Dam Oct 85, Retire to FRC Oct 86, Offer to National Archives Oct 2013

410.14. FILING SUPPLIES AND EQUIPMENT.

a. Folders -- Pressboard folders are authorized for case and project files. The standard pressboard folders are flat-cut, one-inch expansion, with prong fasteners. The flat cut allows for labeling in either the right or left hand position, for easier determination of disposition instructions.

b. Guides -- Use pressboard guides. Labels on guides should be in left position only. See Exhibit 410-6 for examples of guide label entries.

900 - INTERNATIONAL BOUNDARY AND PROJECT
MANAGEMENT FILES

600 - PERSONNEL MANAGEMENT

200 -- PLANNING AND MANAGEMENT RECORDS

100 -- RECORDS COMMON TO MOST OFFICES

Guide card labels. Further breakdown of guide cards is authorized if files within one subfunctional category are voluminous. For instance, the 900 category might be further divided with guide cards for 901, 902, 903, etc.

Exhibit 410-6
EXAMPLES OF GUIDE LABEL ENTRIES

c. Forms -- The following prescribed forms will be used:

(1) File Chargeout Record -- Optional Form 23 (for use in filing cabinets) or Optional Form 24 (for use in shelf units).

(2) List of Selected File Numbers (LSFN) -- IBWC Form 11 and 11a.

(3) Cross Reference -- Optional Form 21, for cross referencing classified documents.

(4) Records Transmittal and Receipt -- Standard Form 135 and 135-A, for forwarding records to a Federal Records Center or temporary records holding area.

(5) Reference Request - Federal Records Centers-- Optional Form 11, for requesting records from a Federal Records Center.

d. Standard Filing Cabinets -- Filing equipment should be standardized to accommodate the type of documents most often filed at the file station. Use letter-size cabinets for records up to 8 1/2" X 11". If less than 20% of the papers to be filed are legal size, fold the larger papers and file the entire collection in letter size cabinets. When more than 20% consist of legal-size records, use legal filing cabinets. Recommended filing cabinets are steel, upright, 5-drawer, 1 drawer wide, 57 1/2" high, and 28 1/2" deep.

e. Federal Records Center Boxes -- Cardboard containers available from the GSA through normal supply channels are used to transfer files to FRC's or temporary records holding area.

(1) Standard Cartons: NSN 8115-00-117-8344 or NSN 8115-00-290-3379, depending on availability. These specially designed boxes will hold either letter- or legal-size files. Each container measures approximately 15" x 12" x 10" and holds one (1) cubic foot of files.

(2) Map-Size Containers: NSN 8115-00-190-5019. Plans, blueprints, maps, and similar records are packed in these map boxes (5" x 5" x 42").

(3) Half-Size Containers: NSN 8115-00-117-8338. Each container measures 15" x 12" x 5" and holds 1/2 cubic foot of card size documents.

(4) Oversized and Undersized Records: Contact the local FRC for instructions on shipping odd sized records.

410.15. LIST OF SELECTED FILE NUMBERS (LSFN). The LSFN is what ties together your file station set up, files arrangement, and retrieval of information thereof. The files custodian for each official station will prepare a LSFN, IBWC Form 11 and 11a, identifying files maintained at that station. The original and one copy of the completed form will be submitted to the RLO for approval. The RLO will maintain copies of all plans for the various official file stations as a master inventory and finding aid for all records. The IBWC Form 11 and 11a will be updated every two (2) years or as major changes occur in the files arrangement, whichever is first. Minor changes may be completed in pen and ink. A copy of an approved LSFN is shown at Exhibit 410-7.

410.16. APPLICATION OF DISPOSITION INSTRUCTIONS. The three important objectives of having a files plan (LSFN), and adhering to it, are:

- a. Preserve records of continuing value.
- b. Destroy records of temporary value as soon as they have served the purpose for which they were created.
- c. Removing noncurrent records from office space and filing equipment to less expensive storage facilities, thereby improving use of files and reducing maintenance costs.

INTERNATIONAL BOUNDARY AND WATER COMMISSION		1. Organizational Unit
LIST OF SELECTED FILE NUMBERS (LSFN)		2. Date Prepared
4. Date Approved		3. Prepared By
		5. Approved By: (Signature of Records Liaison Officer)
6. List of Selected File Numbers		
File Number	File Title or Description of Record Series	Disposition Instructions
101-01	Files Maintenance and Disposition Plan	Destroy when related records are destroyed, or transferred to the National Archives, or when no longer needed. for administrative or reference purposes.
101-03b	Suspense Files	Withdraw documents when a reply is received. (1) If suspense copy is an extra copy, destroy immediately. (2) If suspense copy is the file copy, incorporate it into the official files.
101-07	Agency Directives and Publications	Destroy when superseded or obsolete.
102-01b	"Mission" Correspondence Files HYD 1 General Policy HYD 7 Flood Operations HYD 7-1 Flood Warnings HYD 7-2 Pre-Season Exercises HYD 10 Flood Studies IIC 8 Water Agencies and Authorities WAC 1 General Policy WAC 5 Gains and Losses WAC 5-5 Reservoir Seepage WAC 7 Storage WAC 7-3 Reservoir WAC 11 Water Deliveries to Mexico	Cut off at close of the calendar year. Destroy 5 years after cutoff.
102-02	"Non-Mission" Correspondence Files APD 4 ADP Applications BFA 8 Budget Execution BFA 16 Travel Accounting PAP 8 Mail Management	Cut off at close of calendar year. Destroy 2 years after cutoff.

IBWC Form 11
Rev January 1990

Previous editions are obsolete.

EXHIBIT 410-7

LIST OF SELECTED FILE NUMBERS (Continuation)		7. Date Prepared	9. Page Number 2
		8. Organizational Unit	
File Number	File Title or Description of Record Series	Disposition Instructions	
102-02 (Cont)	PER 1 General Policy PER 4 Attendance and Leave PER 13 Performance Evaluation PER 22 Training and Career Development PPM 11 Purchase Orders and Requisitions		
1001-01	Hydrograph files	Permanent. Cut off at close of the calendar year. Transfer FRC 5 years after cutoff. Offer to the National Archives 30 years after cutoff.	
1001-02	Precipitation Chart Files	Permanent. Cut off at close of the calendar year. Transfer to the FRC 5 years after cutoff. Offer to the National Archives 30 years after cutoff.	
1003-02a	Diversion Report Case Files	Cut off at close of the calendar year. Transfer to the FRC 5 years after cutoff. Destroy 30 years after cutoff.	

IBWC Form 11a
Rev January 1990

Previous editions of File Maintenance and Disposition Plan (continuation) are obsolete.

EXHIBIT 410-7 (Continued)

410.17. DISPOSING OF RECORDS. Federal law requires proper authorization by the National Archives and Records Administration (NARA), through the Archivist of the United States, to dispose of Government records. Authorization for the disposal of U.S. Section, IBWC, records is provided in Files Maintenance and Records Disposition Manual, Records Disposal Schedules (Volume IV, Section 400, Chapter 420). Records are disposed of by either destroying them in the current files area (CFA), retirement to a FRC, or transfer to another government agency. Transfer of records to another agency must be approved by the U.S. Section, IBWC, Paperwork Management Officer.

a. Records destroyed in the CFA can be either by placing material in wastebasket when the quantity is small and not confidential, destroyed by shredding, or burning if this action is necessary to avoid disclosure of information that might be prejudicial to the agency, public, or private interest. Magnetic tape or comparable media may be erased or reused if appropriate.

b. Records are considered "retired" when they are sent to a designated FRC for storage, servicing, and ultimate destruction or retention. Records retired to a FRC, or temporary records holding area, will be done so by use of SF 135 and 135-A, Records Transfer and Receipt. Example of SF 135 and 135-A is at Exhibit 410-8.

410.18. RETRIEVAL OF RECORDS THAT HAVE BEEN RETIRED. Use of OF 11, Request for Records, is the media used to recall records that have been retired. In most cases the FRC will return records within the same week requested. You must always include the accession number and location when requesting records. Example of OF 11 is at Exhibit 410-9.

410.19. GENERAL RETIREMENT PROCEDURES. Decide if your records are eligible for retirement. Refer to the Records Disposal Schedules, your LSFN, and label instructions to make this determination. Now that you have determined which records are eligible for retirement, you must:

a. Estimate Volume of Records Eligible for Retirement-- The files custodian should estimate the volume involved and obtain the necessary boxes. A full letter-size file drawer hold about 1 1/2 cubic feet. A full legal-size drawer contains 2 cubic feet.

b. Review Prior to Boxing -- Before files are boxed for shipment, they should be screened to eliminate nonrecord material or material authorized for immediate destruction.

RECORDS TRANSMITTAL AND RECEIPT				Complete and send original and two copies of this form to the appropriate Federal Records Center for approval prior to shipment of records. See specific instructions on reverse.				PAGE 1	OF 2 PAGES			
1. TO <small>(Complete the address for the records center serving your area as shown in SF 1225-100.)</small> Federal Records Center 501 West Felix Street Fort Worth, TX 76113				3. FROM <small>(Enter the name and complete mailing address of the office retaining the records. The signed receipt of this form will be sent to this address.)</small> Hydrographic Office International Boundary and Water Commission United States Section HCR #1, Box 37 Highway 90 West Del Rio, Texas 78840				2. AGENCY TRANSFER AUTHORIZATION TRANSFERRING AGENCY OFFICIAL (Signature and date) _____ DATE _____ RLO (for HQ Ofcs) or Head of Field Ofc 1-1-90 3. AGENCY CONTACT TRANSFERRING AGENCY LIAISON OFFICIAL (Name, office and telephone No.) _____ Person having knowledge of files being transferred _____ 4. RECORDS CENTER RECEIPT RECORDS RECEIVED BY (Signature and date) _____ DATE _____ Leave blank				
RECORDS DATA												
ACCESSION NUMBER				AGENCY BOX NUMBER	SERIES DESCRIPTION <small>(With inclusive dates of material)</small>	RETENTION	DISPOSAL AUTHORITY <small>(Schedule and item number)</small>	DISPOSAL DATE	COMPLETED BY RECORDS CENTER			
NO	PY	NUMBER	VOLUME (in 2)						LOCATION	FILE PLAN	COM TYPE	AUTO ONP
(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)	(9)	(10)	(11)	(12)	
76	90	Leave blank	3	1	Hydrograph Files (84) 8-4508.05 Cermins Spring at Amistad Dam, TX 8-4508.20 Lourdes Spring near Cd. Acuna, Coahuila 8-4508.30 Hilda Spring near Cd. Acuna, Coahuila 8-4509.00 Rio Grande Below Amistad Dam, TX 8-4509.04 Spring M-15 near Cd. Acuna, Coahuila 8-4509.06 Spring M-5 near Cd. Acuna, Coahuila 8-4509.10 Arroyo Delbury near Cd. Acuna, Coahuila 8-4509.20 Panastina Spring near Cd. Acuna, Coahuila 8-4511.20 Maris Spring near Cd. Acuna, Coahuila 8-4511.30 Eight Mile Creek near Del Rio, TX	2	NC1-76-77-1 1001-01	Perm 2015				

N5N 7640-00-024-1003 26-107 Standard Form (25 Rev. 7-88) Prescribed by GSA 38 CFR 1225-102

RECORDS TRANSMITTAL AND RECEIPT (Continuation)				This form is to continue listing of Records Data when space on SF 125 is not adequate. Instructions for completion of SF 125 apply.				TRANSFERRING AGENCY NAME U.S. Section, IEMC Del Rio, TX		DATE 1-1-90		PAGE 2 OF 2	
ACCESSION NUMBER				AGENCY BOX NUMBER	SERIES DESCRIPTION <small>(With inclusive dates of material)</small>	RETENTION	DISPOSAL AUTHORITY <small>(Schedule and item number)</small>	DISPOSAL DATE	COMPLETED BY RECORDS CENTER				
NO	PY	NUMBER	VOLUME (in 2)						LOCATION	FILE PLAN	COM TYPE	AUTO ONP	
(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)	(9)	(10)	(11)	(12)		
76	90		3	3	8-4511.40 McKee Spring near Del Rio, TX 8-4511.50 Arroyo De La Treinta y Una near Cd. Acuna, Coahuila 8-4511.60 Rosita Spring near Cd. Acuna, Coahuila 8-4513.00 Cantu Spring on Cienegas Creek near Del Rio, TX 8-4514.60 Silver Lake Pond //////////NOTHING FOLLOWS//////////	2	NC1-76-77-1 1001-01	Perm 2015					

N5N 7640-00-023-7932 126-264 0-1225-100-024-10032 Standard Form 125-A (Rev. 7-88) Prescribed by GSA 38 CFR 1225-102

EXHIBIT 410-8

REFERENCE REQUEST—FEDERAL RECORDS CENTERS			NOTE: Use a separate form for each request.		
SECTION I—TO BE COMPLETED BY REQUESTING AGENCY					
RECORD GROUP NO.	ACCESSION NO.	AGENCY BOX NUMBER	RECORDS CENTER LOCATION NUMBER		
076	076-83-0011	2 OF 3	D1800773		
DESCRIPTION OF RECORD(S) OR INFORMATION REQUESTED (Include file number and title.)					
1001-01 Hydrograph Files (83), for station 8-3585.00 Rio Grande at San Marcial (two folders)					
REMARKS					
NATURE OF SERVICE					
<input type="checkbox"/> FURNISH COPY OF RECORD(S) ONLY <input type="checkbox"/> PERMANENT WITHDRAWAL <input checked="" type="checkbox"/> TEMPORARY LOAN OF RECORD(S) <input type="checkbox"/> REVIEW <input type="checkbox"/> OTHER (Specify)					
NAME OF REQUESTER		TELEPHONE NO.	DATE	RECEIPT OF RECORDS Requester please sign, date and return this form, for the item(s) listed above, ONLY if the block to right has been checked by the Records Center.	
Head of Field Office		8-123-4567	1-7-90		
NAME AND ADDRESS OF AGENCY		SIGNATURE		DATE	
(Include street address, building, room no and ZIP Code) Hydrographic Office International Boundary and Water Commission United States Section HCR #3, Box 37 (Highway 90 West) Del Rio, Texas 78840 <small>(In Washington, D.C. area also include STOP number)</small>					
SECTION II—FOR USE BY RECORDS CENTER					
<input type="checkbox"/> RECORDS NOT IN CENTER CUSTODY <input type="checkbox"/> RECORDS DESTROYED <input type="checkbox"/> WRONG BOX NUMBER—PLEASE RECHECK <input type="checkbox"/> ADDITIONAL INFORMATION REQUIRED TO IDENTIFY RECORDS REQUESTED <input type="checkbox"/> MISSING (Neither record(s), information nor charge card found in container(s) specified) <input type="checkbox"/> RECORDS PREVIOUSLY CHARGED OUT TO (Name, agency and date):		REMARKS			
		Fill in if there are any remarks.			
		DATE	SERVICE	TIME REQUIRED	SEARCHER'S INITIALS
SECTION III—TO BE COMPLETED BY REQUESTING AGENCY					
General Services Administration Federal Records Center NARS TO				NOTE: In Washington, D.C. area send to STOP 386	
(City) (State) (Zip Code)					

5011-108

NSN 7540-00-982-8423

PREVIOUS EDITION USABLE

EXHIBIT 410-9

410-22

OPTIONAL FORM 11 (Rev. 9-79)
Prescribed by GSA, FPMR (41 CFR) 101-11.04

c. **Separate Records into Series** -- A series is defined as a group of records having the same disposal authority and same disposal date. Each item, or sub-item, in your records disposal schedules represents a series and must be transferred to the FRC as a separate accession. Mixed series will be accepted only if the disposition is the same for the different series.

d. **Packing Records** -- Pack records into appropriate box. Use only water base tape, 2" thick, for sealing boxes. Do NOT mark boxes at this time. Wait until the SF 135 is approved and returned with the accession number. When the accession number has been received, place the number in the upper left hand corner of each box in the accession. Place the agency box number in the upper right hand corner beginning with Box Number 1 and include the total in the accession (i.e. 1 of 10; 2 of 10, etc). For example of marking boxes, refer to Exhibit 410-10. Pack classified records separate from unclassified records.

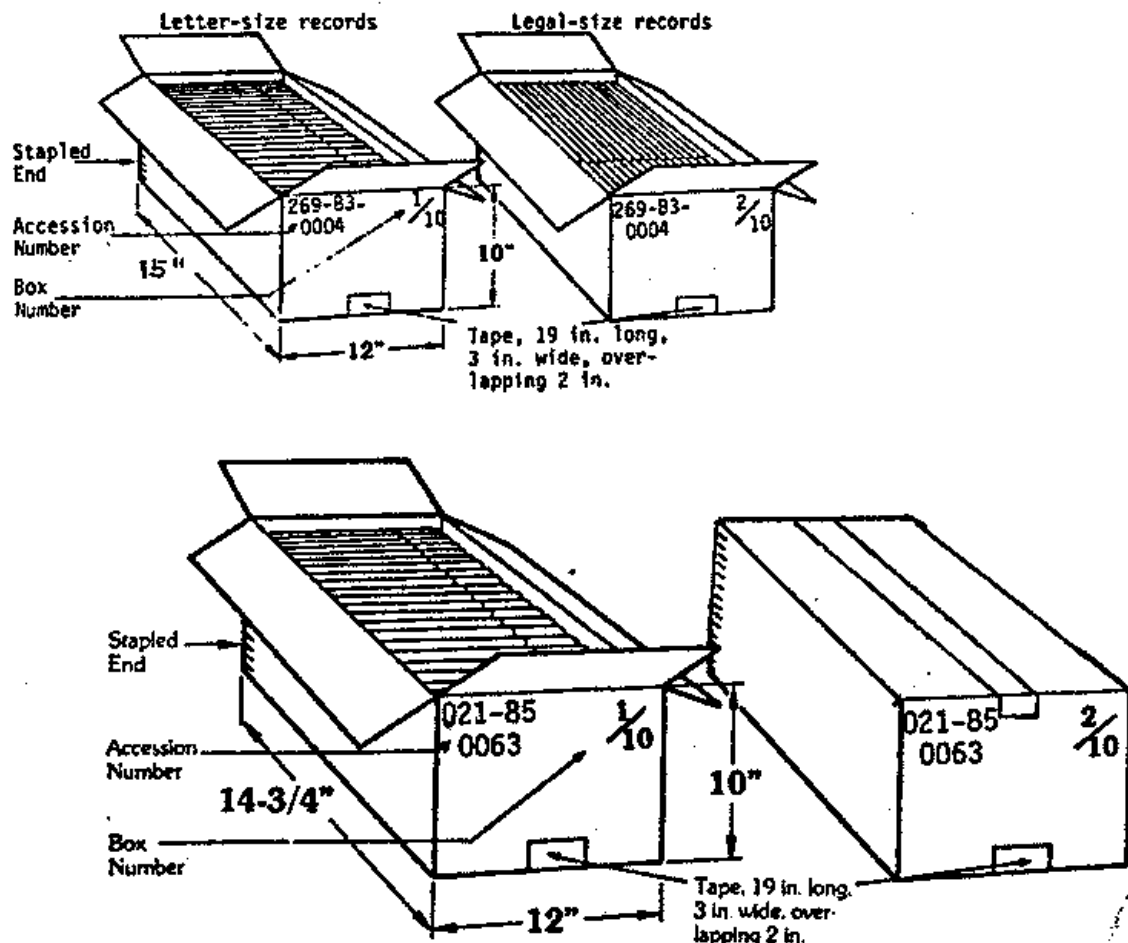


Exhibit 410-10
EXAMPLE OF BOXES READY FOR RETIREMENT

e. Shipping the Records -- After you have received an accession number, your records are ready to be shipped. A copy of the SF 135 and 135-A should be placed in Box 1. Records are shipped by using a common carrier, and filling out a bill of lading. After the records have been received by the FRC, you will receive a complete set of your SF 135, indicating accession and location number. Keep them handy, you will need these numbers when requesting records using an OF 11.

410.20. RETIREMENT DEVIATIONS. The U.S. Section, IBWC, Records Liaison Officer is authorized to approve specific deviations from retirement instructions on an individual basis only from requests made in writing. Deviations apply only to records retirements. No records will be destroyed sooner or later than authorized by approved records disposal schedules, unless the applicable schedule is officially changed.

410.21. LIST OF FEDERAL RECORDS CENTERS. Federal Records Centers (FRC's) are operated by the National Archives and Records Administration for storage, processing, and servicing of records of Federal agencies. A listing of FRC's utilized by the U.S. Section, IBWC, is in Exhibit 410-11.

REGION	AREAS SERVED	MAILING ADDRESS	SHIPPING ADDRESS (If different than mailing address)
	Entire Federal Government (for personnel and pay records of separated Civilian employees; and other designated records)	National Personnel Records Center Civilian Personnel Records 111 Winnebago Street St. Louis, MO 63118	
3	District of Columbia, Maryland, West Virginia, and Virginia	Washington National Records Center Washington, DC 20409	4205 Suitland Road Suitland, MD 20706
7	Texas, Oklahoma, Arkansas, Louisiana, and New Mexico	Federal Records Center Post Office Box 6216 Ft. Worth, TX 76115	501 West Felix Bldg 1, Dock 1 Fort Worth, TX 76115
9	Arizona, Clark County, Nevada; Southern California (Counties of San Luis Obispo, Kern, Santa Barbara, Ventura, Orange, Los Angeles, Riverside, Inyo, Imperial and San Diego)	Federal Records Center 24000 Avila Road Laguna Niguel, CA 92667	

EXHIBIT 410-11
LIST OF FEDERAL RECORDS CENTERS

APPENDIX A

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APPENDIX B

LIST OF ABBREVIATIONS

ADP	Automatic Data Processing
CFA	Current Files Area
COFF	Cut off
CY	Calendar Year
Dest	Destroy
FRC	Federal Records Center
FY	Fiscal Year
GRS	General Records Schedule(s)
GSA	General Services Administration
IBWC	International Boundary and Water Commission
LSFN	List of Selected File Numbers
MRR	Machine Readable Records
NARA	National Archives and Records Administration
NSN	National Stock Number
RLO	Records Liaison Officer
Supsd	Superseded
UCS	United States Code

LIST OF FORMS

IBWC Form 11 and 11a	List of Selected File Numbers
OF 11	Reference Request - Federal Records Centers
OF 21	Cross-Reference (for use with classified documents)
OF 23	Charge-Out Record (for use in filing cabinets)
OF 24	Shelf-File Charge-Out Record
SF 115	Request for Authority to Dispose of Records
SF 135 and 135-A	Records Transmittal and Receipt

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INSTRUCTIONS FOR TRANSFER OF RECORDS TO FARC

and other Records Center Procedures

The following instructions are designed to help you transfer records to the Federal Archives and Records Center (FARC). The instructions also include information on reference of records, records disposal, and microfilming. Please save these instructions and refer to them when you prepare shipments.

SECTION I. TRANSFER OF RECORDS TO FARC

1 Step 1: Decide if your records are eligible for transfer. Refer to a copy of the records control schedule for your agency for scheduling instructions for your records. Records transferred to a FARC must have their final disposition established by an approved records control schedule unless your agency has an exception to 41 CFR 101-11.4. Permanent records must be covered by a schedule approved by NARS after May 14, 1973.

The following categories of records CANNOT be transferred to the FARC.

- a) Records authorized for disposal less than 3 years after transfer to the FARC.
- b) Records under a freeze which would otherwise be eligible for disposal.
- c) Contingent records. (Unless your agency has prior approval from the Office of Federal Records Centers.)
- d) Unscheduled records. (If you have unscheduled records, contact your regional or national records officer.)
- e) Records offered for "early retirement" (records which, according to your schedule, should be maintained in agency space for a period of time prior to transfer to the FARC).
- f) Records consisting of less than 1 cubic foot.
- g) Records which are not yet closed (cut-off).

The FARC will consider exceptions to the "3-year" rule and one-time exceptions for "early retirement" if agency space is severely limited. Exceptions for contingent records can be granted by NARS Central Office.

If you have further questions about any of these categories, contact the A&D Section, FTS 334-5515.

Step 2: Prepare records for transfer.

2

- a) Remove nonrecord material and extra copies from official files.
- b) Separate records into series. A series is defined as a group of records having the same disposal authority and same disposal date.

Each item or subitem in your records control schedule represents a series and must be transferred to the FARC as a separate accession. Mixed series cannot be accepted without an approved exception.

Step 3: Order supplies as needed.

3

Standard size record box

Half size record box

Microfiche box

X-ray box

3-inch wide Kraft tape

Standard Form 135

Standard Form 135-A

Felt tip marker

Optional Form 11

Box liner

NSN 8115-00-290-3379 (15L x 12W x 10D)
or NSN 8115-00-117-8344 (14 3/4L x 12W x 9 1/2D)
NSN 8115-00-117-8338 (use only for odd-size material)
NSN 8115-01-025-3254
NSN 8115-00-290-3386
NSN 8135-00-270-8717
NSN 7540-00-634-4093
NSN 7540-00-823-7952
NSN 7520-00-973-1059
NSN 7540-00-682-6423
NSN 8135-00-290-1392 (for use with box NSN 8115-00-290-3379)

Legal and letter size material should be packed in standard size boxes. Use half size or other special boxes only for microfilm, index cards or other odd size material.

Step 4: Pack the records.

4

a) DO NOT mark boxes at this time. Wait until the SF 135 is approved and returned with the accession number.

b) To assemble the box, fold the two 12-inch flaps inside, then fold the two 15-inch flaps prior to taping. Seal the boxes with Kraft paper tape (see Step 3 for stock number).

c) Place letter size records in the box with tabs facing the numbered end. The numbered end will be opposite the stapled end. Place legal size records in the box so that the tabs face the left of the box as you face the numbered end. Leave approximately 1 inch of space in each box for working the files--more if interfiles are to be added later.

d) Side tab folder should have identifying data across the top of the folder to make referencing records easier.

e) Don't overpack your boxes. Never add additional material on the side or top of the records in the box. Use box liners for reinforcement if necessary.

Step 5: Prepare Standard Form 135 and 135-A.

5

a) Completed SF 135's must be sent to the FARC for approval prior to shipping records.



Federal Records Center—Fort Worth

P.O. Box 6216 Fort Worth, Texas 76115

Date :
Reply to
Attn of : 7NCOA

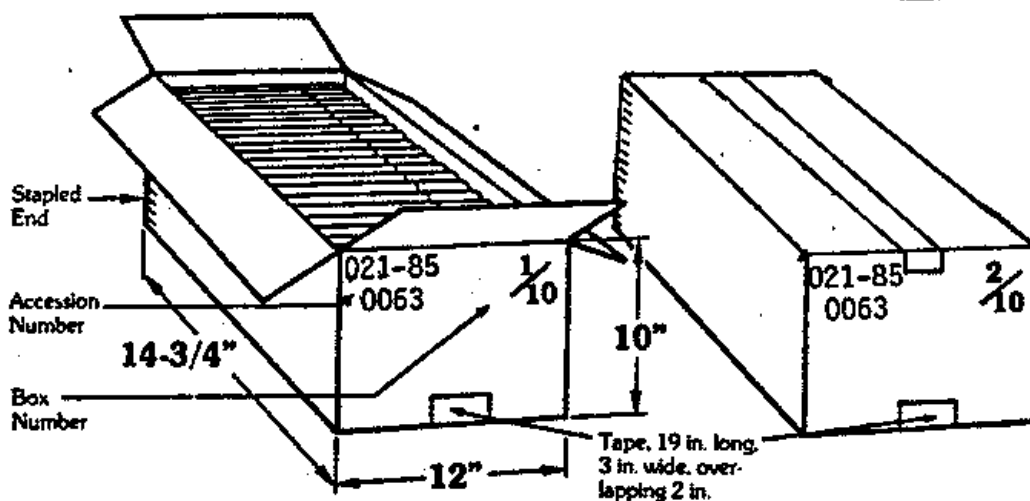
Subject: Supplement to "Instruction for Transfer of Records to FRC"

To : All agency Record Officers

Please attach these supplemental instructions for marking boxes to your original transfer instructions (or copy of FPMR 7-B-3).

Marking boxes for shipment:

- This step is completed when the approved SF 135 is returned to you.
- Place the accession number in the upper left corner of each box in the accession.
- Place the agency box number in the upper right corner beginning with box number 1 and include the total number in the accession, such as 1 of 10, 2 of 10, etc.
- Lettering should be done in wide-tip black felt marker and letters should be approximately 1-2" in height.
- When sealing the boxes, DO NOT tape over the accession number or agency box numbers



(See reverse side of page for 3/4 scale illustration.)

If you have further questions, please call Pat Lyle on FTS 334-5515.

JAMES W. MOUAT
Director

Enclosures

021-85
0063

(paper-based tape)

1
10

(paper-based tape)

RECORDS TRANSMITTAL AND RECEIPT

Complete and send original and two copies of this form to the appropriate Federal Records Center for approval prior to shipment of records. See specific instructions on reverse.

PAGE 1 OF 1
PAGES

1. TO (Complete the address for the appropriate records center serving your area)

As shown in
FPMR 101-11.60-1
Federal Archives and Records Center
General Services Administration
P.O. Box 6216
Fort Worth, TX 76115

2. AGENCY TRANSFER AUTHORITY (Signature and title)

DATE

Records Officer 10-10-82

3. AGENCY CONTACT TRANSFERRING AGENCY LIAISON OFFICIAL (Name, office and telephone No.)

Joe Smith
Accounting Section FTS 123-4567

4. RECORDS CENTER RECEIPT RECORDS RECEIVED BY (Signature and title) DATE

5. FROM (Enter the name and complete mailing address of the office retaining the records. This should include of this form will be sent to this address)

GSA, OOC, Finance Div, 78CPD
819 Taylor Street
Fort Worth, TX 76102

RECORDS DATA

ACCESSION NUMBER

NO	FY	NUMBER	VOLUME (vol. 74)	AGENCY BOX NUMBERS	SERIES DESCRIPTION (With inclusive dates of records)	DISPOSITION	DISPOSAL AUTHORITY (Statute and item number)	DISPOSAL DATE	COMPLETED BY RECORDS CENTER	DATE	REMARKS
(a)	(b)	(c)	(d)	(e)	(f)	(g)	(h)	(i)	(j)	(k)	(l)

12
1/12 thru 12/12
10/1/80 to 9/30/81
This shipment consists of standard size cartons.
Trial Balances. Official file copies of trial balance reports for FY 81.

OAD P 1820.2
16815A

10/91

EXAMPLE

NOTE: Records restricted to GSA officials only.

INSTRUCTIONS FOR COMPLETION OF STANDARD FORM 135

FOR COMPLETION BY THE TRANSFERRING AGENCY

Items 1, 2, 3 and 5 are self-explanatory. Specific instructions for item 6 are as follows:

Col.

Accession Number. A separate accession number is required for each series of records listed on the form. A series consists of records having the same disposal authority and disposal date that are transferred together to the records center. The accession number is entered in three parts, consisting of:

- The NARS record group number assigned to the records of the agency making the transfer;
- The last two digits of the current fiscal year; and
- A four digit sequential number obtained in advance from the records center. (Arrangements may be made with the center to have these numbers assigned by the agency records officer or other official.)
- Volume.** Enter the volume in cubic feet of each series of records being transferred.
- Agency Box Numbers.** Show the inclusive box numbers for each series of records being transferred. The agency shall number each carton sequentially as follows: 1 of 25, 2 of 25, 3 of 25, etc. (Each new series of records should begin with carton number 1.) To facilitate control of the records and future reference service, the agency also shall mark each container with the assigned accession number prior to shipment.
- Series Description.** Describe the records in sufficient detail to allow the records center to check for proper application of the disposal schedule. Inclusive dates of the records should be indicated. Show the organizational component that created the records when it is other than that shown in item 5.
- Restriction.** Enter one of the following codes to show a restriction on use of the records. Restrictions other than (or in addition to) security classifications, such as limiting access to certain agency officials, are to be specified by a statement in the Series Description column (f).

Code

Restrictions

Q security classification
T Top Secret security classification
S Secret security classification
C Confidential security classification
R Restricted use—witnessed disposal not required
(specify in column (i))

W

Restricted use—witnessed disposal required
(specify in column (i))

N

No restrictions

- Disposal Authority.** Each series of records, cite the agency schedule and specific item number authorizing disposal. Cite the NARS disposal job and item number if it has not been incorporated into an updated agency schedule.

- Disposal Date.** Applying the disposal authority previously cited in column (h), enter the month and year in which the records may be destroyed.

FOR COMPLETION BY THE RECORDS CENTER

Item 4 is self-explanatory. Specific instructions for item 6 are as follows:

Col.

- Location.** The records center annotates the shelf location of the first carton for each series of records.
- Shelving Plan.** The records center enters the appropriate code from Chap. 7-10e, HB, Records Center Operations (NAR P 1864.1A), to reflect the shelving system.
- Container Type.** The records center enters the appropriate code from Chap. 7-10h, NAR P 1864.1A, to reflect the type of container in which the records are retained.
- Automatic Disposal.** The records center enters either Y (yes) to indicate automatic disposal applies or N (no) indicating that the agency wishes to receive disposal concurrence notice prior to destruction of the records. Automatic disposal is applied only when previously agreed upon by the agency.

Use Standard Form 135-A, Records Transmittal and Receipt Continuation, when additional space is required for listing records data.

**RECORDS TRANSMITTAL
AND RECEIPT
(Continuation)**

This form is to continue listing of Records Data when space on SF 135 is not adequate. Instructions for completion of SF 135 apply.

TRANSMITTING AGENCY'S NAME

DATE

PAGE

OF

ACCESSION NUMBER

PAGES

NO.	PT.	NUMBER	VOLUME (vol. #)	AGENCY BOX NUMBERS	SERIES DESCRIPTION (with inclusive dates of records)	NOT RECORDED	DISPOSAL AUTHORITY (Schedule and item number)	DISPOSAL DATE	LOCATION	FILED	FILED	FILED
(a)	(b)	(c)	(d)	(e)	(f)	(g)	(h)	(i)	(j)	(k)	(l)	(m)
<p>(NOTE: This form is to be used only when a required detailed listing exceeds the space provided on the SF 135.)</p> <p>EXAMPLE</p>												

Attachment C

NOTICE OF INTENT TO DESTROY RECORDS		DATE OF NOTICE	DISPOSAL DATE
<p>The records described in this notice appear eligible for disposal on the date shown, in accordance with FPMR 101.11.410.8(b) they will be destroyed 90 days from the date of this notice. You should annotate your SF 135 (all copies) to show that the records have been destroyed. No other action is required. If you do not concur in the scheduled destruction of these records, you may request an extension of the retention period by providing written justification (including a proposed new disposal date), within the 90 day period to the Director of the Federal records center indicated at the right.</p> <p>REMARKS</p> <p>EXAMPLE</p> <p>LOCATION B1204563</p> <p>GENERAL SERVICES ADMINISTRATION</p>		10/01/84	1/85
		RECORDS DESCRIPTION	
		ACCESSION NUMBER	SUBGROUP
		269-77-0123	
		DISPOSAL AUTHORITY	VOLUME (Cu. ft.)
1820.2/21A75	12		
SERIES DESCRIPTION		Representation Files 12/74	
ADDRESS OF FEDERAL RECORDS CENTER		FEDERAL ARCHIVES AND RECORDS CENTER P.O. Box 6216 FORT WORTH, TX 76115	

c) For shipments of 20 boxes or more, make all arrangements necessary to ensure that boxes arrive at the FARC in numerical order so that the first box unloaded is the last box of the accession, unless other special arrangements are coordinated. Shipments which are out of order, improperly packed, improperly taped, or improperly marked upon arrival at the FARC will not be accepted. Any additional freight charges will be the responsibility of the shipping agency.

d) It is not economical to mail large shipments. If shipments of 20 boxes or more must be mailed, they should be sent in a postal container or bulk mail container.

e) For shipments of 500 boxes or more, call the FARC to schedule a shipping date and instruct commercial carriers to contact the records Center 24 hours before delivery. This instruction should be noted on the bill of lading.

f) If possible, try to schedule deliveries before 3:00 p.m.

g) The boxes should be received by the FARC within 90 days after receipt of authorization to ship records. If boxes are not received within 90 days, your SF 135 will be returned and your accession number voided.

For further assistance on the shipment of records, contact the Service Section, FTS 334-5515.

SECTION II: REFERENCE REQUESTS

Optional Form 11, Reference Request - Federal Records Center, is used to recall records from the FARC unless your agency has an approved alternative form. Use a separate OF 11 for each folder or box requested. Each request is filled within 8 working hours. Use telephone for emergencies only.

In making reference requests, you must always furnish the accession number, agency box number, and FARC location number of the first box in the accession. Enter these items in the proper blocks of the OF 11. To avoid delay in filling requests, arrange your request forms in sequence by FARC location number. Incomplete, incorrectly prepared, or unsequenced requests will be returned.

For further information on reference service, contact the Service Section FTS 334-5515

* * * * *

SECTION III: DISPOSAL OF RECORDS

You will be notified of the pending disposal of records in FARC custody by GSA Form 3170, Notice of Intent to Destroy Records (Attachment C), which is mailed 90 days prior to scheduled destruction. If you do not return Form 3170 to the FARC within that time, records will be destroyed as scheduled.

Justification for continued retention must be submitted in writing, indicating definite administrative need (audit, litigation, etc.) and the estimated length of necessary extension.

You will be notified of pending disposal of contingent records by GSA Form 3165, Agency Review for Contingent Disposal. Please note and follow instructions on the form.

For further information on the disposal of records, contact the A&D Section, FTS 334-5515.

* * * * *

SECTION IV: MICROFILM

The FARC offers a full range of micrographic services which include filming by rotary and planetary cameras, film developing and processing, producing microfiche, jacket loading, aperture card mounting, and roll duplication. We can microfilm documents ranging from 3 by 5 inch index cards to large engineering drawings.

For information on fees, contact the Microfilm Unit, FTS 334-5515.

b) Prepare a typed original and 3 copies of SF 135 and 135-A. It is preferable not to begin new accessions on the SF 135-A.

c) Complete all blocks on SF 135 and 135-A except Item 4, the accession number (Item 6a, b, c) and the section "COMPLETED BY RECORDS CENTER." Item 2 must be signed (do not use a rubber stamp). In Item 3, put name and telephone number of person to contact concerning the records. Agency offices outside Fort Worth or Dallas should give their FTS number. Put your complete mailing address in Item 5.

d) For Item 6(d), a standard size box equals 1 cubic foot and half size boxes equal $\frac{1}{2}$ cubic foot each. Remember that volume less than 1 cubic foot cannot be accepted.

e) In Item 6(f), Series Description, describe the records in sufficient detail to allow FARC personnel to verify compliance with your records schedule. Show inclusive dates. Remember that files must be closed. State "GAO Site Audit" if the records have been so designated by the General Accounting Office. State the container type used, i.e. standard size boxes, x-ray boxes, etc.

f) Item 6(f) should NOT include a detailed box-by-box listing unless the records are scheduled for permanent retention. Describe the records as in Attachment B and retain the detailed listing in your office so that you can provide agency box numbers when requesting reference service.

g) Complete Item 6(g), Restriction, using one of the codes listed on the back of the SF 135. Restriction code R usually applies to most agencies.

h) Put your records control schedule title and the item and subitem for each accession in Item 6(h).

i) Compute Item 6(i), Disposal Date, using instructions in your records schedule. Remember the "3 year" and "early retirement" rules (refer to Step 1). (Since disposal is accomplished in quarterly cycles, you may adjust the date to the beginning of the next calendar quarter, e.g. 1/89, 4/89, 7/89, 10/89, to obtain the actual date of destruction.)

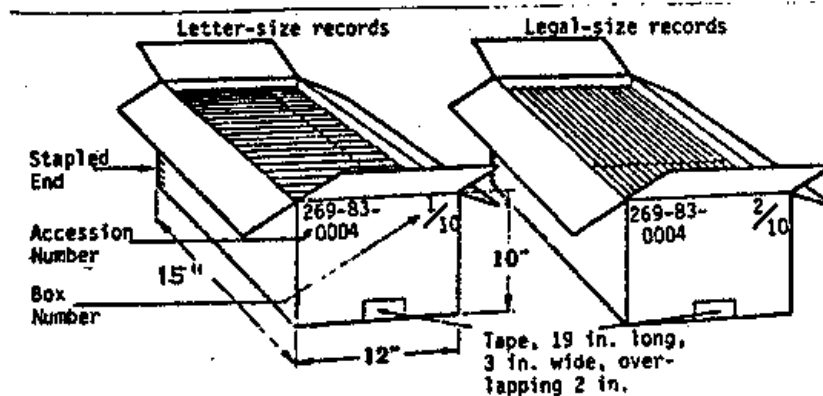
j) Forward an original and two copies of your completed SF 135 to the FARC. Hold one copy in suspense in your office. The FARC will review your SF 135 for completeness and accuracy. If acceptable, the records Center will assign the accession number and ~~FARC location number~~ and return two copies of the SF 135 authorizing shipment of the boxes.

k) Place one of the returned copies of the approved SF 135 in box number 1 of each accession being shipped. The FARC will return this copy to you as a receipt after the records have been shelved.

Step 6: Marking boxes for shipment.

6

- a) This step is completed when the approved SF 135 is returned to you.
- b) Place the accession number in the upper left corner of each box in the accession.
- c) Place the agency box number in the upper right corner beginning with box number 1 and include the total number in the accession, such as 1 of 10, 2 of 10, etc.
- ~~d) Place the FARC location number in the lower center of the FIRST BOX of each accession.~~
- e) When sealing the boxes, DO NOT tape over the accession number or agency box numbers.



Step 7: Shipping the records.

7

- a) To get the lowest freight rate for "old" office records when shipping by common carrier, enter the following statement on bills of lading or other shipping documents: "The agreed or declared value of this property is hereby specifically stated by the shipper to be not exceeding 3½ cents per pound." The proper commodity description should also be shown on the bill of lading in order to obtain the lowest rate: "Records, office, old, in boxes, securely protected against opening in transit."
- b) For assistance in finding the least expensive commercial carrier, contact the GSA Transportation Division, FTS 334-2733.